

ARNOLD, STANSBY & CO LIMITED DEALING APPLICATION

Arnold, Stansby & Co Limited
Alexandra Buildings
28 Queen Street
Manchester M2 5JJ

Tel 0161 832 8554
Fax 0161 834 7710

Authorised & Regulated by the Financial Conduct Authority
Members of the London Stock Exchange

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This form should be completed if you require any personal recommendations to be made to you regarding your investments

We are required to obtain information regarding your investment objectives, your attitude to risk, your financial situation now and any likely changes. We will still be able to effect transactions for you without these details but these will be made without our recommendation

charges we make.

If you require an execution only dealing service a separate application is available upon request.

Please ensure you have completed, signed and returned a Client Verification Form which is needed to open a dealing account

PLEASE COMPLETE IN BLOCK CAPITALS

PERSONAL DETAILS

Title _____
Surname _____
Forenames _____
Address _____

Postcode _____
Home Tel _____
Work Tel _____
Mobile Tel _____
Fax _____
E-mail address _____
Date of Birth _____
Nat Ins No _____
Marital status _____
Homeowner _____
If not please give details _____
Place of Birth _____
Nationality _____
Occupation _____
Bank account _____
Previous address (if less than 3 years at above) _____

Postcode _____
Who recommended Arnold, Stansby & Co Limited ?

COMPLETE BELOW FOR JOINT APPLICANT (IF APPLICABLE)

PERSONAL DETAILS FOR JOINT APPLICANT

Title _____
Surname _____
Forenames _____
Address _____

Postcode _____
Home Tel _____
Work Tel _____
Mobile Tel _____
Fax _____
E-mail address _____
Date of Birth _____
Nat Ins No _____
No of Dependents _____
Marital status _____
Homeowner _____
If not please give details _____
Place of Birth _____
Nationality _____
Occupation _____
Bank account _____
Previous address (if less than 3 years at above) _____

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Who recommended Arnold, Stansby & Co Limited ?

The current terms of business sets out the services we offer and the

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Risk Warning

The price and value of securities and any income derived from securities can fall as well as rise and that when realized you may receive less back than you originally invested.

The following sections are to be completed by applicants where advice and a personal recommendation may be sought from us. If you are in any doubt what your investment objectives and attitude to risk is you should contact us before completing the section below. The definition of risk shown below is for guidance.

Investment Objectives / Definition of risk

As a general rule if you require a high return (in terms of both income and growth) you must be aware that there is likely to be a high degree of risk to your investment. You should consider what risk you are prepared to accept and inform us if you require a personal recommendation on any investment. The classify risk as:

LOW RISK – Cash, gilt edged stocks (including index linked gilts), some corporate bonds, some leading UK ordinary shares and some ungeared collective investments.

MEDIUM RISK – Ordinary shares in the top 350 UK companies, some corporate bonds, some leading overseas company shares and many collective investments.

HIGHER RISK – All other types of investment.

Please complete the following sections in addition to your Investment objectives and attitude to risk shown above if may require advice or a personal recommendations from us.

INVESTMENT RESTRICTIONS

You may wish to avoid investing in a particular company, industry sector or geographical area for example. If this is the case please enter the details below.

i) Companies to be avoided _____

ii) Sectors to be avoided _____

iii) Geographical areas to be avoided _____

iv) Other (please state) _____

If you wish to change or add to your investment restrictions you should advise us immediately.

INVESTMENT OBJECTIVES / ATTITUDE TO RISK

A) What are you trying to achieve from your investments?

i) Primarily Income _____

ii) Mixed Income & Growth _____

iii) Primarily Growth _____

iv) Other (please state) _____

B) What is your overall attitude to risk?

i) Low Risk _____

ii) Medium Risk _____

iii) Higher Risk _____

iv) Other (please state) _____

If applicable please indicate more than one objective or attitude to risk.

If your investment objectives change it is important that you advise us.

NON-READILY REALISABLE INVESTMENTS

Do you want to deal in non-readily realisable investments **Yes/No** *

* Please delete as appropriate

If you have shown "Yes" you may wish to deal in non-readily available investments, these securities may be difficult to buy and sell due to their limited marketability and the market price may be difficult to determine.

COLLECTIVE INVESTMENTS

Do you want to deal in collective investments **Yes/No** *

* Please delete as appropriate

If you do not know the meaning of Collective Investments please contact us for more information

OFF-EXCHANGE INVESTMENTS

Do you want to deal in off-exchange investments **Yes/No** *

* Please delete as appropriate

If you have shown "Yes" you may wish to deal in off-exchange investments. We will be able to deal for you in securities that are not subject to the regulations of a recognized investment exchange.

CUSTODY STATEMENTS/VALUATIONS

Do you have specific dates you wish to receive periodic information from us? _____

Custody statements are sent six monthly as at 5th April & 5th October

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If you may require any advice or personal recommendation we ask that you give us as much information about your financial circumstances as possible.

FINANCIAL CIRCUMSTANCES

Do we know all of your investments _____ *

If not total value of investments £ _____

* please list investments not known by us separately

Value of home £ _____

Value of other properties £ _____

Amount of mortgage (if any) £ _____

Total savings £ _____

Annual Income (Gross) £ _____

Do you foresee any change in your income _____

Tax rate _____

Do you foresee any change in your tax status _____

Total loans, overdrafts etc £ _____

Annual Commitments (list separately if necessary) £ _____

Details of any likely future exceptional expenditure _____

Expected retirement date if working (if known) _____

Pension details (if any) _____

No of dependents _____

Dates of birth of any dependents

_____/_____/_____

_____/_____/_____

_____/_____/_____

_____/_____/_____ *

* List separately if more than four dependents

OTHER INFORMATION

Please include separately any other information you feel may be relevant to your financial circumstances.

FINANCIAL CIRCUMSTANCES

Do we know all of your investments _____ *

If not total value of investments £ _____

* please list investments not known by us separately

Value of home £ _____

Value of other properties £ _____

Amount of mortgage (if any) £ _____

Total savings £ _____

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Details of any likely future exceptional expenditure _____

Expected retirement date if working (if known) _____

Pension details (if any) _____

No of dependents _____

Dates of birth of any dependents

_____/_____/_____

_____/_____/_____

_____/_____/_____

_____/_____/_____ *

* List separately if more than four dependents

OTHER INFORMATION

Please include separately any other information you feel may be relevant to your financial circumstances.

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STABILISATION

Do you want to deal in securities whose price may be subject to and therefore affected by stabilisation **Yes/ No** *

* Please delete as appropriate.

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If you have shown "Yes" you may wish to deal in securities that are subject to stabilization. Stabilisation allows prices to be supported after a security is issued, this may make the price higher than it would be without stabilisation. This may also affect securities that are already listed which are related to the new issue. Stabilisation is undertaken to ensure issues of securities are introduced in an orderly fashion and is allowed for a limited period after issue.

The authority for us to hold Client Money have Safe Custody of your investments may be important if you are considering an Individual Savings Account (ISA) or investing in stocks where certificates are not issued, for example most corporate bonds

If you are in any doubt regarding the meaning of Client Money and Safe Custody please contact us for further information.

CLIENT MONEY

Money held by the firm will be treated as client money in accordance with the rules of the FCA. The client bank accounts have statutory trust status and are segregated from the firm's own funds. Money is held at an approved bank. Money may be held in an account which is pooled with money of other clients, this means you may not have a claim against a specific sum of money in a specific bank account but your claim may be against the client money pool. Money other than that held for settlement of a transaction will attract interest in accordance with the terms of business. Interest rate paid is shown in the terms of business. All interest on non ISA bank accounts pays net interest unless the correct Bank of Scotland tax forms are completed and accepted by the bank. No liability can be accepted by the firm for loss of gross interest where it may be payable gross but is paid net due to the forms being incomplete. If a transaction is undertaken which requires that your money is paid to a third party in connection with that transaction the legal and regulatory regime may be different than in the United Kingdom. This may mean that in the event of default your money may be treated differently than it would in the UK.

I/We authorise Arnold, Stansby & Co Limited to hold money on my/our behalf **Yes/No ***

*** Please delete as appropriate. It may be important that you give this authority if we control any of your investments.**

held by the firm will be registered in the name of ASCO Nominees Limited an associated company of the firm. Securities may also be held by other eligible custodians that have authorisation to do so. These custodians may be subject to and have different rules than those applying to UK custodians. Investments held may be pooled with those of one or more client's. You may also receive less than you may expect from a corporate action as they may favour small shareholders. You will not receive documentation issued by companies to shareholders held directly on the company share register. The firm does not accept responsibility for the safe custody of third parties, except for its own fraud or negligence. For investments held by the firm (except where the address on the share register is the clients) we will be responsible for advising regarding rights issues, take-overs, receiving dividends and other rights of shareholders. The client's instructions will be sought where necessary, should the client fail to advise what action to take by any deadline given by the firm no action will be taken. This may lead to a loss to the client (for example non take-up of open offer shares).

I/We authorise Arnold Stansby & Co Limited to control my securities. I/We authorise Arnold, Stansby & Co Limited to register securities in the name of Asco Nominees Limited (the nominee company associated with Arnold, Stansby & Co Limited) and/or an eligible custodian nominated by Arnold, Stansby & Co Limited. **Yes/No ***

*** Please delete as appropriate. It may be important that you give this authority if we control any of your investments, in particular where these are ISA's.**

PERSONAL INFORMATION & DATA PROTECTION ACT

Services provided are on the basis of information provided by you. You warrant that all this information given is true and full. You agree to notify us of any change in the information provided. Handling and processing of all financial personal information complies with the Data Protection Act. This information is kept strictly confidential and will not be disclosed to any other party.

Arnold, Stansby & Co Limited are authorised and regulated by the Financial Conduct Authority. Details about complaints handling, Financial Services Compensation Scheme (FSCS) and Financial Ombudsman Service (FOS) are available by request.

SIGNATURE _____ DATE _____

SIGNATURE _____ DATE _____

REGISTRATION / CUSTODY OF SECURITIES

Securities will be registered in our nominee name and/or another custodian the firm gives authority to hold your investments in safe custody. We will transfer securities held on your behalf to meet obligations you may have, such as sales of securities. All securities